

JC

JCWSCS 04 JAN 2005

01/03/2005 05:13 PM

Schubert & Associates, PLLC (512) 301-7301 1/5



6013 Cannon Mtn Dr., S14  
Austin, Texas 78749  
Tel: (512) 288-6635  
Fax: (512) 301-7301  
www.schubert-iplaw.com

\*\*\* CONFIDENTIAL FACSIMILE \*\*\*

Date: January 3, 2005

From: Jeffrey S. Schubert Tel: (512) 288-6635  
Reg. No. 43,098

To: Corrected Filing Receipt  
Requests

Company: USPTO Fax: 703-746-9195

Sender's Ref: AUS920030782US1(4039) Pages (incl. this page): 5

Recipient's Ref: 10/821,051

Subject: REQUEST FOR CORRECTED FILING RECEIPT

Notes:

- (1) Request for Corrected Filing Receipt (2 pgs.); and
- (2) Copy of Filing Receipt underlined to indicate the requested correction(s) (2 pgs.).

Thank you,  
SCHUBERT & ASSOCIATES PLLC

\*\*\*\*\*

**ATTENTION: CONFIDENTIAL and/or PRIVILEGED INFORMATION**

This transmission contains information from the law firm of Schubert & Associates. The information is confidential and/or privileged and is intended for the use of the individual or entity named on this transmission only. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this information is prohibited. If you have received this transmission in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you. Alternatively, notify the sender by replying to this transmission and delete the message without disclosing it. Thank you.

\*\*\*\*\*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

William Bornstein et al.

Serial No.: 10/821,051

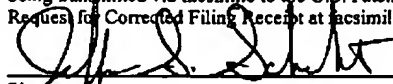
Date Filed: April 8, 2004

Title: Systems and Methods for  
Improving Audits§  
§  
§  
§  
§  
§  
§

Group Art Unit: 3627

Examiner: Not Yet Assigned

Confirmation No.: 9655

IBM Docket No.: AUS920030782US1  
(4039)COMMISSIONER FOR PATENTS  
P. O. Box 1450  
Alexandria, VA 22313-1450**CERTIFICATE OF FACSIMILE**I hereby certify that, on the date shown below, this correspondence is  
being transmitted via facsimile to the U.S. Patent & Trademark Office,  
Request for Corrected Filing Receipt at facsimile no: 703-746-9195.

Signature

Jan 3, 2005

Date

**REQUEST FOR CORRECTED FILING RECEIPT**Applicants hereby request the Commissioner of Patent and Trademarks to correct the  
Official Filing Receipt for the above-identified patent application as follows:

- \_\_\_ Correct the Filing Date
- \_\_\_ Correct Continuing Data
- \_\_\_ Correct Applicant(s)
- \_\_\_ Correct Title
- X Correct Attorney Docket Number
- \_\_\_ Correct Assignee Data
- \_\_\_ Correct Publication Data
- \_\_\_ Other: \_\_\_\_\_

This Request is submitted for the following reasons:

The Attorney Docket No. should be corrected to read as follows:

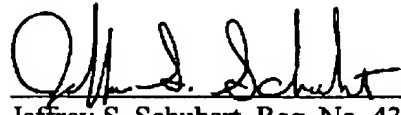
AUS920030782US1(4039) in lieu of that previously shown.

Attached is a copy of the Filing Receipt underlined to indicate the requested correction(s). Therefore, it is respectfully requested that a corrected Filing Receipt be issued.

If this request does not lead to the correction of the Filing Receipt, please contact the Applicant's attorney at the telephone number indicated below.

Respectfully submitted,

Date: Jan 3, 2005



Jeffrey S. Schubert, Reg. No. 43,098  
SCHUBERT & ASSOCIATES PLLC  
6013 Cannon Mtn. Dr., S14  
Austin, Texas 78749  
(512) 288-6635 (Telephone)  
(512) 301-7301 (Facsimile)  
Attorney for Applicant(s)



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/821,051	04/08/2004	3627	1086	AUS920030782US1(4039)	6	28	5

CONFIRMATION NO. 9655

38518  
 SCHUBERT & ASSOCIATES  
 6013 CANNON MTN DR, S14  
 AUSTIN, TX 78749

## FILING RECEIPT



\*OC000000013005715\*

Date Mailed: 06/21/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

William Bornstein, Stormville, NY;  
 Anthony Cappa Spielberg, Austin, TX;

## Assignment For Published Patent Application

International Business Machines Corporation, Armonk, NY;

## Domestic Priority data as claimed by applicant

## Foreign Applications

If Required, Foreign Filing License Granted: 06/20/2004

Projected Publication Date: 10/13/2005

Non-Publication Request: No

Early Publication Request: No

## Title

Systems and methods for improving audits

**Preliminary Class**  
**705**

---

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).